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GROUP 3600

10269-11CIP
(HSX/001 CIP2)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Timothy Maxwell Keiser, et al.
Application No. : 09/382,907 Confirmation No. : 5840
Filed : August 25, 1999
For : COMPUTER-IMPLEMENTED SECURITIES
TRADING SYSTEM WITH A VIRTUAL
SPECIALIST FUNCTION
Group Art Unit : 3623
Examiner : Akiba K. Robinson Boyce

New York, New York 10020
May 12, 2004

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97, applicants hereby make the documents listed in Appendices A, B, C, D and E attached hereto of record in the above-identified patent application.

Documents in Appendix A, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally submitted on April 11, 1996, and are of record in parent U.S. Patent Application No. 08/620,906, filed March 25, 1996, Patent No. 5,950,176, issued September 7, 1999, from which priority is claimed.

05/14/2004 SSITHB1 00000118 09382907 180.00 OP
01 FC:1806

Documents in Appendix B, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on April 22, 1998, and are of record in parent U.S. Patent Application No. 08/620,906, filed March 25, 1996, Patent No. 5,950,176, issued September 7, 1999, from which priority is claimed.

Documents in Appendix C, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on June 7, 1999, and are of record in parent U.S. Patent Application No. 08/620,906, filed March 25, 1996, Patent No. 5,950,176, issued September 7, 1999, from which priority is claimed.

Documents in Appendix D, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on August 2, 2002, and are of record in parent U.S. Patent Application No. 09/184,571, filed November 2, 1998, Patent No. 6,505,174, issued January 7, 2003, from which priority is claimed.

Accordingly, pursuant to 37 C.F.R. § 1.98(d), copies of documents in Appendices A-D are not provided. Copies of documents in Appendix E are provided.

This Statement is being submitted after the mailing of a First Office Action on the merits. Accordingly, applicants have enclosed a check in the amount of \$180.00 in payment of the fee for submission of an Information Disclosure Statement in accordance with 37 C.F.R. § 1.97 (c) (2). The Director is hereby authorized to charge payment of any additional fees required in connection with this

Information Disclosure Statement to Deposit Account No. 06-1075.

It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during examination of this application; and (2) printed on any patent which may issue on this application.

Applicants request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

A duplicate copy of this Information Disclosure Statement is enclosed herewith.

Consideration of the foregoing in relation to this patent application is respectfully requested.

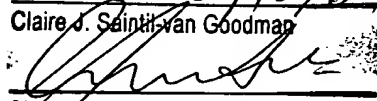
Respectfully submitted,



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Alexandria, VA 22313-1450 on

5/12/04
Claire J. Saintil-van Goodman



Signature of Person Signing

APPENDIX A

U.S. Patent Documents

3,499,646	03/1970	Burgess, Jr. et al.
4,597,046	06/1986	Musmanno et al.
5,270,922	12/1993	Higgins
5,297,032	03/1994	Trojan et al.

APPENDIX B

U.S. Patent Documents

3,573,747	04/1971	Adams, C. et al.
4,903,201	02/1990	Wagner, S.
4,980,826	12/1990	Wagner, S.
5,508,913	04/1996	Yamamoto, K. et al.
5,692,233	11/1997	Garman, M.
5,727,165	03/1998	Ordish, C. et al.

APPENDIX C

U.S. Patent Documents

5,375,055	12/1994	Togher et al.
5,905,974	05/1999	Fraser et al.

APPENDIX D

Foreign Patent Documents

WO98/58333A1	12/1998	PCT
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Other Documents

Ye, Jia, "An Investigation of Market Fragmentation and the Specialist's Quotation Strategy (Information Risk, Liquidity, Bid Ask Spread", 1995, Volume 57/03-A of Dissertation Abstracts International, p. 1260, 97 pgs.

APPENDIX E

U.S. Patent Documents

5,537,314	07/1996	Kanter
5,724,524	03/1998	Hunt et al.
6,578,010	06/2003	Teacherson

Foreign Patent Documents

WO01/39056A1	5/2001	PCT
WO01/16825A1	3/2001	PCT

Other Documents

Amex.com, The Street.com, Across the Street: Buying Stock in Hollywood, Jeffrey L. Newman, November 17, 1997, 2 pgs.

Cones; 43 Ways to Finance Your Feature Film. 1995. pages 47 and 45.

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MediaX and CMC International Records Team Up for Exclusive Download Campaigns with Major Artists. PR Newswire, Dec. 9, 1999.

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The New York Times, The Hollywood Stock Market: You Can't Lose, Laura Pedersen-Pietersen, January 11, 1998, 3 pgs.

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SunSpot Maryland's Online Community, Taking Stock at the Box Office, Alex Dubin, printed on 8/19/97, 5 pgs.

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<http://www.avary.com/killingzoe/details/interview.kz.millimetermag.html>

Canadians turn to co-finance, pre-sales for TV prod'n coin. Findarticles.com, Jan. 19, 1998,
http://www.findarticles.com/cf_0/m1312/n10_v369/20371093/print.jhtml

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
10269-11CIP
(HSX/001CIP2)APPLN. NO.
09/382,907SUPPLEMENTAL INFORMATION DISCLOSURE
STATEMENT BY APPLICANTAPPLICANTS
Timothy Maxwell Keiser,
et al.CONF. NO.
5840FILING DATE
August 25, 1999GROUP ART UNIT
3623

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	3,499,646	3/1970	Burgess, Jr. et al.	273	1	
	3,573,747	04/1971	Adams, C. et al.	340	172.5	
	4,597,046	6/1986	Musmanno et al.	364	408	
	4,903,201	02/1990	Wagner, S.	364	408	
	4,980,826	12/1990	Wagner, S.	364	408	
	5,270,922	12/1993	Higgins	364	408	
	5,297,032	3/1994	Trojan et al.	364	408	
	5,375,055	12/1994	Togher et al.	364	408	
	5,508,913	04/1996	Yamamoto, K. et al.	364	408	
	5,537,314	07/1996	Kanter	364	406	
	5,692,233	11/1997	Garman, M.	705	36	
	5,724,524	03/1998	Hunt et al.	395	237	
	5,727,165	03/1998	Ordish, C. et al.	395	237	
	5,905,974	05/1999	Fraser et al.	705	37	
	6,578,010	06/2003	Teacherson	705	14	

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO98/58333A1	12/1998	PCT				
	WO01/39056A1	5/2001	PCT				
	WO01/16825A1	03/2001	PCT				
	DE3539545A1	07/1986	Germany				

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EXAMINER INITIAL	
	Amex.com, The Street.com, Across the Street: Buying Stock in Hollywood, Jeffrey L. Newman, November 17, 1997, 2 pgs.
	Cones; 43 Ways to Finance Your Feature Film. 1995. pages 47 and 45.
	Cones, John W. and Wilke, Pete, "Investor Financing of Independent Film", 1998.
	Engineers, Hollywood Stock Exchange, printed on 11/13/97, 2 pgs.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

10269-11CIP
(HSX/001CIP2)

APPLN. NO.

09/382,907

SUPPLEMENTAL INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

APPLICANTS

Timothy Maxwell Keiser,
et al.

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	Jack Feuer: Disc Driven. Findarticles.com; July 12, 1999.
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	Ye, Jia, "An Investigation of Market Fragmentation and the Specialist's Quotation Strategy (Information Risk, Liquidity, Bid Ask Spread", 1995, Volume 57/03-A of Dissertation Abstracts International, p. 1260, 97 pgs.
	American Film Market; Hollywoodnet.com; 1997, http://www.hollywoodnet.com/conferences/afm97.htm
	Astral Media The Harold Greenberg Fund's Equity Investment Program; 1992, http://www.tmn.ca/hgfund/pdf/fundEquityJune2002.pdf
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	Canadians turn to co-finance, pre-sales for TV prod'n coin. Findarticles.com, Jan. 19, 1998, http://www.findarticles.com/cf_0/m1312/n10_v369/20371093/print.jhtml

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